



ATTORNEY'S DOCKET NO: C0441/7160

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Technology Center 2600

Applicant: Lundy Lewis  
Serial No: 09/577,224  
Filed: May 23, 2000  
For: METHOD AND APPARATUS FOR REACTIVE AND DELIBERATIVE  
SERVICE LEVEL MANAGEMENT (SLM)

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Technology Center 2100

Assistant Commissioner for Patents  
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98,  
the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date  
of a first Office Action on the merits in the above-identified case. No fee or  
certification is required.

PART II - Information Cited

[X] A. The Applicant hereby makes of record in the above-identified application  
the information listed on the attached form PTO-1449 (modified). The order of  
presentation of the references should not be construed as an indication of the  
importance of the references.

[ ] B. The Applicant hereby makes the following additional information of  
record in the above-identified application:

[ ] PART III: Explanation of Non-English Language References and Remarks  
Concerning Other Information Cited

The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified):

The following are remarks concerning the other information cited:

PART IV: Remarks

Applicants hereby make of record the enclosed International Search Report and references in corresponding PCT Case US00/14175.

A copy of each of the above-identified information is enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.


By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

By:   
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Docket No. **C0441/7160**  
Dated: December 22, 2000

FORM PTO-1449(Modified)	ATTY. DOCKET NO. C0441/71160	SERIAL NO. 09/571,224
	APPLICANT Lundy LEWIS	
	FILING DATE May 23, 2000	GROUP

# U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
		5,768,501	06/16/98	Lewis	395	185	May 28, 1996
		5,261,044	11/09/93	Lewis et al.	395	159	
		5,680,552	10/21/97	Netravali et al.	395	200.8	
		5,473,608	12/5/95	Gagne et al.	370	401	
		5,450,408	9/12/95	Phaal	370	401	
		5,317,568	5/31/94	Bixby et al.	370	401	
		5,079,765	1/7/92	Nakamura	340	825.8	
		5,436,909	7/25/95	Dev			
		5,293,323	3/8/94	Doskocil			
		5,309,448	5/94	Bouloutas	395	183	
		5,495,470	2/96	Tyburnski et al.	370	248	
		4,977,390	12/90	Saylor et al.	340	521	
		5,261,044	11/93	Dev et al.	395	159	
		5,204,955	4/93	Kagei et al.	395	575	

# FOREIGN PATENT DOCUMENTS

	Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes	No
	WO 95/08794	30.03.95	PCT				
	WO 94/23514	13.10.94	PCT				
	EP 0 632 617 A2	04.01.95	EPO				x
	EP 0 621 716 A2	26.10.94	EPO				

# OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

		✓	John McConnell: "SPECTRUM and NerveCenter - A New Level of Integration" May 1996, McConnell Consulting, Inc., Boulder, CO.
		✓	Lundy Lewis and Jim Frev: "Incorporating Business Process Management into Network and Systems Management", April 9-11, 1997, Proceedings of ISADS 97, IEEE Computer Society Press, Los Alamitos, CA.
		✓	Schlaerth, J.P.: "A Concept for Tactical Wide-Area Network Hub Management," Proceedings of the Communications Conf. (MILCOM), Long Branch, NJ., Oct. 2-5, 1994, Vol. 2 of 3, IEEE, pp. 644-649.
		✓	Grady Booch: "Object-Oriented Analysis and Design (with Applications)" Second Ed., 1994 Ch. 2, pgs 28-80, Addison-Wesley Publishing Co.

\* a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. \_\_\_\_\_, filed \_\_\_\_\_, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.